

**A STUDY OF THE IMPLEMENTATION OF THE
DEVELOPMENTAL APPRAISAL SYSTEM IN A FORMER
DET PRIMARY SCHOOL IN THE PINETOWN DISTRICT
OF THE KWAZULU-NATAL DEPARTMENT OF
EDUCATION AND CULTURE.**

By
Basizile T. Goba

Submitted in partial fulfillment of the requirements for the Master of Education
(Education Management) Degree in the Faculty of Education at the University of Natal
(Durban)

December 2002

DECLARATION

I hereby declare that **A study of the implementation of the Developmental Appraisal System in a former DET school in the Pinetown District of the KwaZulu-Natal Department of Education and Culture**, is my own work and that all sources consulted and quoted have been indicated and acknowledged by means of complete references. The opinions expressed in this study are those of the writer and are not those of the University of Natal or the KwaZulu-Natal Department of Education and Culture.

B. T. Goba

Date: December 2002

Place: Durban

ACKNOWLEDGMENTS

I would like to express my sincere gratitude and appreciation to all who assisted me and gave me support towards this research.

- My supervisor, Professor M. Thurlow, of the School of Education, (University of Natal-Durban) for guiding me with such patience and encouraging assistance and for giving me wonderful support throughout the research.

- My friend and co-student, Dudu Zulu, who always encouraged me and whose interest, enthusiasm and support helped me make it through.

- The Pinetown District Manager, Mr A. B Dlamini, for giving me permission to undertake the research in the school.

- The staff at Jubilee Senior Primary School. who sacrificed their time whenever I needed their input.

- My children and nephews, particularly my elder son, Sibonelo, for being tolerant with me and for the support they gave me.

ABSTRACT

This is a study of the Implementation of the Developmental Appraisal System in a former DET school in the Pinetown District of KwaZulu-Natal Department of Education and Culture. It focuses on how educators have understood the Developmental Appraisal System, how they have experienced it and what they would recommend for the DAS so that the school, hence the education system can benefit from it.

The main findings in this study indicated that there is a need for retraining of educators for the Developmental Appraisal System to be a success. The problem of the time constraints is also another factor that has made the practical implementation of the DAS to fail. Attitudes of educators in connection with the DAS need special attention so that they become more positive about the DAS.

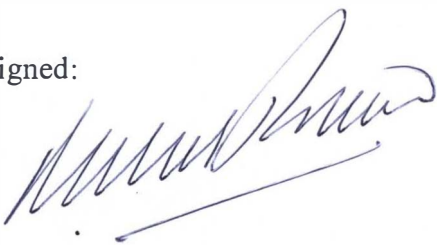
Positive findings indicated that involving other people when one has to be appraised makes the appraisee experience other people's input about his/her strengths, areas of development, opportunities and situations threatening his/her performance.

I, as a researcher, would recommend a closer look at how time is made available for the process. If possible, Circuit Appraisal Teams (CATs), District's, Regional's, Provincial's and National's Appraisal Teams set an example to educators at school level. They can do this by being the first to be appraised. School Management Teams and office-based educators could also do the same.

STATEMENT BY SUPERVISOR.

This dissertation entitled “A study of the implementation of the Developmental Appraisal System in a former DET Primary school in the Pinetown District of the KwaZulu-Natal Department of Education and Culture” has been submitted with / ~~without~~ my approval.

Signed:



Professor Thurlow

TABLE OF CONTENTS

	Page
Declaration	(i)
Acknowledgments	(ii)
Abstract	(iii)
Statement by Supervisor	(iv)
Table of contents	(v)
CHAPTER 1: INTRODUCTION TO THE STUDY	1
1.1 Introduction	1
1.2 Aim and purpose of the study	2
1.3 Limitations of the study	3

1.4 Research Methods	4
1.5 The structure of the study	5
1.6 Conclusion	6
CHAPTER 2: ASSOCIATED READING	7
2.1 Introduction	7
2.2 Historical background and concerns about staff development programmes in schools	8
2.3 The purpose of appraisal	12
2.4 Issues in appraisal and strategies for their management	14
2.5 The components of appraisal	16
2.6 Managing the implementation and development of appraisal	16

2.7 Appraisal in South Africa	18
2.8 The process of change	19
2.9 The new Developmental Appraisal System (DAS)	19
2.10 Initial assessment of the DAS	24
2.11 Conclusion	25
CHAPTER 3: RESEARCH METHOD	26
3.1 Introduction	26
3.2 The research questions	26
3.3 The case study	27
3.4 The population	27
3.5 The instrument	28

3.6 Analysis of questions	31
3.7 Conclusion	32
CHAPTER 4: PRESENTATION OF FINDINGS	33
4.1 Introduction	33
4.2 Analysis of the findings on the Developmental Appraisal System	33
4.3 Interpretation of the analysed findings	40
4.4 Conclusion	44
CHAPTER 5: SUMMARY AND RECOMMENDATIONS	45
5.1 Introduction	45
5.2 Summary	45
5.3 Recommendations	47

5.4 Conclusion	51
----------------	----

REFERENCES	53
------------	----

APPENDICES:

Appendix 1	Letter to the District Office
------------	-------------------------------

Appendix 2	Letter to Colleagues
------------	----------------------

Appendix 3	Questionnaires
------------	----------------

Appendix 4	Response Sheet
------------	----------------

CHAPTER 1: INTRODUCTION TO THE STUDY

1.1 INTRODUCTION

The Previous appraisal system has been largely inspectorial and bureaucratic with a top-down, closed and authoritarian character (Chetty et al, 1993: 2). With certain groups of teachers, it was concerned with efficiency and social control rather than professional development. There was a defiance campaign held in 1989 against the appraisal system and inspections. SADTU (as early as 1992) consulted Education Policy Unit (EPU) at Wits to assist in exploring of alternative education appraisal practices (Mokgalane, 1997).

Educators then demanded, and still demand an appraisal system with the following qualities:

A uniform national system.

A system that has been developed consultatively as a response to the “call to action” slogan of “Tirisano” or “Working together”.

Appraisal that is Open and equitable.

Developmental Appraisal System (DAS) that is school -based and which focuses on professional development and consequently the improvement of schooling and the restoration of the culture of learning and teaching.

This new Appraisal system, which is in demand has been initiated by one of the major unions in partnership with Education Policy Unit and they both believed the appraisal process to be teacher-based and participatory.

Appraisal has been well established in institutions in countries like U.K., USA, Canada and Australia. Basically the process of appraisal consists of the following components (Mokgalane, 1997):

Collecting of information that will serve as evidence.

Experience and development in self-appraisal.

Observation while appraisee is at work.

Setting targets and making follow-up.

Making agreed statements on observed work and on expectations.

Although a Developmental Appraisal System is so much a necessity in educational institutions for the promotion of learning and teaching, it is not meeting the response it is supposed to meet in schools (APEK, 2001). It therefore became necessary that a study be made to investigate the implementation of the Developmental Appraisal System in a former Department of Education and Training (DET) school in Pinetown District of KwaZulu-Natal Department of Education and Culture.

1.2 THE AIM AND THE PURPOSE OF THE STUDY

This is a piece of research that intends to encourage professional development. The researcher has been trying since the year 2000 to put into practice the concept of Developmental Appraisal System at the school. This research will assist in knowing how educators feel about the DAS and what

suggestions might help to improve its practicalities. It also aims at encouraging awareness of the importance of Developmental Appraisal System as one of the ways of staff Development.

The issues investigated in this research have been grouped into the following three key questions:

What are the conceptual underpinnings of the DAS, and how do these relate to the contextual realities of South African schooling, as well as other conceptualisations underpinning similar processes elsewhere?

How was the implementation of the DAS conceived officially, and what are the possible limitations associated with this conception?

What has been the actual experience of the school in attempting to implement the DAS, and what might be done to enhance the DAS and its implementation?

The first question is investigated by literature from different sources. The second question is investigated by reference to official documents on the Developmental Appraisal System issued variously in South Africa. The third question, which really is the main question, is answered through empirical research undertaken in connection with the study and discussions have been made.

1.3 LIMITATIONS OF THE STUDY

Since this research is a case study made in one school, the findings cannot be generalized. In spite of the above limitation, the intention is to get information that may help in improving staff development processes that will at a long run promote the culture of learning and teaching. The

information was obtained only from those questionnaires which were returned by educators. DAS issue needs long-term study. Therefore the once off study in a school might not give exactly what should be the best it can give.

1.4 RESEARCH METHODS.

Question 1 is concerned with conceptualisation and is addressed by reference to general literature study and the study of the limited range of local sources (Chetty, 1993; Mogkalane, 1997 and Thurlow with Ramnarain, 2001)

Question 2 relates to officially conceived approaches to implementation and is addressed as above.

Question 3 relates to experiences and opinions of the implementation of the DAS and is addressed through research carried out with the staff of the school used in the study. There were no sampling problems, as the whole educator staff of the school were involved. The staff were asked to respond to a self-completion questionnaire, having items which were variously both open-ended and closed. This part of the research is intended to identify broad response trends.

The core of the questionnaire comprised a series of closed questions and this was analysed through a comparison of straightforward relative frequencies. In addition, many of the closed questions allowed for open-ended comment, which via content analysis, allowed for further elaboration and illumination of findings through direct quotation.

1.5 THE STRUCTURE OF THE STUDY

In chapter 2, literature related and relevant to appraisal in schools is reviewed. Although most of the literature is not of South African origin, it is relevant and useful to the context of the South African schools as well. Chapter 3 highlights the means by which information was gained to answer the research questions. It also discusses the methods used to obtain information from educators, methods used to analyze and interpret findings and the research tools used. It further describes this research as a case study, clarifying the “population” used, the instruments that were used and ways in which the responses were analysed.

In chapter 4 the focus is on analysis of collected data and the interpretation thereof. It explains how findings were presented and how each section and in turn each question in each section was dealt with.

Chapter 5 summarises the main findings and has recommendations based on the research. From these recommendations an action plan can be based to promote and encourage the Developmental Appraisal System. It provides a summary of the main findings from chapter 4 and here and there links the findings to related literature and it also gives the final conclusion to the study.

1.6 CONCLUSION

This chapter has been introduced by giving the broad outline of the study in this research. The aim and purpose of the study focused on the study itself and on questions. As a case study it also clarified the limitations of the study. The methods and the structure of the study were also explained. The next chapter will be based on background reading relevant to the study.

CHAPTER 2: ASSOCIATED READING

2.1 INTRODUCTION

This chapter focuses on reading associated with the Developmental Appraisal System. Readings looked at are both international and on the new DAS in South Africa. This has been discussed under the following topics:

Historical Background and concerns about staff development programmes in schools.

The purpose of appraisal.

Issues in appraisal and strategies for their management.

The component of appraisal.

Managing the implementation and development of appraisal.

Appraisal in South Africa.

The process of change.

The new Developmental Appraisal System.

An initial Assessment.

Conclusion.

Discussion of literature related to this study will then be linked to the next chapter, which focuses on the research methods.

2.2 HISTORICAL BACKGROUND AND CONCERNS ABOUT STAFF DEVELOPMENT PROGRAMMES IN SCHOOLS

Department of Education has not shown a good record of feedback on performance, hence it has not been made clear to everyone what criteria are used to consider people for promotion. Where some forms of appraisal seem to have taken place, they were in 'closed system', where bosses assessed and made records without discussing with educators.

Countries like England and Wales have seen (since 1979) the development of frameworks for the inspection of school and college performance, taxonomies of professional and managerial competence and comparative data, in the form of published league table of standardized assessment tests (SATs) and public examination results. Teaching and managerial performance were measured against a framework of external expectations of performance

Four perspectives on performance-oriented approaches are considered. These are:

Management By Objective (MBO), as argued by Squire, et al (1989), provides an objective and necessary bulwark against imposed performance and standards and subjective assessment of performance. The employee in this case initiates targets or goals, mutually agrees on a set of goals with his / her supervisor and periodically reviews the match between goals and achievements.

Managerial competences, which offer different perspective on management of performance, relying on external detailed analysis of tasks carried out by people at different levels of responsibility within an institution.

Ofsted framework, which includes attempts to define criteria against which performance might be assessed, both within and between institutions.

Value-added measures, which relate to the notion that individual or institutional effectiveness is too crude and the need for developing procedures, which assess initial attainment and final attainment.

Apart from performance-oriented approaches, there are also people-oriented approaches, which argue for supportive but challenging styles of management. Both these approaches to performance have an impact on the new Developmental Appraisal System.

An article on 'Positive Appraisal' by Montgomery was written at the end of ten years in appraisal research and development. At that stage the title of appraisal was not common and it was then known as the Evaluation. Techniques in this evaluation process developed in the initial training of teachers. Classroom observations and debriefing interviews were dealt with and these were done in sessions after which performance by educators was remarkably improved (Montgomery, 1981: p. 39). The Positive Appraisal, as the title indicates, places emphasis on making developments based on individual and institution's strengths. In this case a format was devised and an agenda to this was agreed in advance with each member of the staff and had the following points as important:

- Pen portrait where the teacher described in about 10 minutes how he/she came to be in the current job.
- An outline on the current work with its roles and duties, subjects, classes and courses taught, the negatives and positives encountered while undertaking one's duties.
- Progress with the previous year's targets.

- Personal and school development needs.
- Target setting for the years to come.

A project began at the end of 1992(Mokgalane,1997) when South African Democratic Teachers' Union (SADTU) approached the Wits University Education Policy Unit (EPU) to help in developing the alternative form of teacher appraisal. Two phases to this project involved organizational and educational dimensions. The first phase was between 1993 and 1994 where a SADTU negotiating team led by Paseka Njobe and an EPU research team met regularly to negotiate new principles and procedures for teacher appraisal. The second phase of the project focused on the teacher union leadership feeling the need for the appraisal project to articulate directly with new national, political and educational development. After the conference in August 1994, which resolved to institute a pilot project owned by the education department, SADTU and the National Association of Professional Teachers' Organisation of South Africa (NAPTOSA), Ella Mokgalane was appointed in September 1995 as the national co-ordinator of the project. The report drew attention to the aspects of the principles and procedures which worked and those that did not work as well as views of teachers.

The policies for teacher appraisal as contained in National Education Policy Initiative (NEPI), the ANC and the Implementation Plan for Education and Training (IPET) placed emphasis on the principles that underpin teacher appraisal.

Putting in context the effective managing of people, feedback about performance is accepted as central both inside and outside education (Middlewood; 1997: 169). Formal schemes of appraisal

performance were introduced in the UK in the late 1980s and fully implemented in early 1990s. It has been concluded that appraisal contributes to eight of the eleven factors identified by Official Standards in Education (Ofsted) as characteristics of effective schools. These factors are:

- Enhancing professional leadership.
- Promoting a shared vision and goals.
- Increasing the concentration on teaching and learning.
- Establishing explicit high expectations of staff.
- Ensuring positive re-enforcement through acknowledging the contributions of staff.
- Monitoring progress and the career development of staff.
- Providing opportunities to develop more purposeful teaching.
- Enhancing the sense of a school being a learning organization.

As from 1994, the National Department of Education focused on the vision and direction of the education system in South Africa. This has been done through a series of policy initiatives. Some of these policy initiatives have been written formally in legislation (Thurlow and Ramnarain, 2001: 90). The minister addressed nine priorities from his plan that is based upon its political mandate. These have been identified through five programmes, which are set in such a way as to place emphasis on commitment to action, delivery and the accountability. Programme 2 of the five programmes was based on school Effectiveness and Educator professionalism. This programme consisted of seven projects, of which the fourth project focuses on Status and Quality of Teaching (SQT), concerned with educator development. Educator development in this case promotes and enhances the competence and professional skills of educators. Since the first South African

democratic government in 1994, transformation of educator appraisal was under discussion and was extensively negotiated and culminated in an agreement in the Education Labour Relations Council in 1998.

Prior to 1996, principals and teachers have consistently been at the receiving end of top-down management structures (Department of Education South Africa, 1996: 19). This made it difficult to monitor performance and to develop staff in schools. Schools suffered lack of clarity regarding roles and responsibility, lack of experience of good management practices and other. A recommendation by the task team about capacity building was that 'education departments need to develop guidelines and work closely with institutions to ensure that programmes are relevant to current management practices and day-to-day work demands'. This statement has a great impact on the issue of the Developmental Appraisal System because the DAS also aims at empowering educators, capacity building on the personnel and involvement of all the relevant stakeholders. This is further emphasized on the point about the importance of participation and collaboration, which are also cornerstones of the Developmental Appraisal System. The same report of the task team emphasizes developing individuals or schools as a whole. Although this is placing more focus on management development, the Developmental Appraisal System has to be managed in order to function properly.

2.3 THE PURPOSE OF APPRAISAL

The purposes emphasized by appraisal among other things are the improvement of individual performance as well as organizational effectiveness (Middlewood, 1997: 169). Developmental

appraisal has at its heart, developmental as well as evaluative purposes. The DAS, as in the U.K., U.S.A., Canada and Australia emphasizes developmental aspects and supportive and constructive observation of teaching. Appraisal enhances professional leadership, promotes shared vision and goals and increases the concentration on teaching and learning. The purposes of appraisal are related to improving individual performance and to greater organizational effectiveness. More concern is placed on people and educational standards and a proper consideration for performance by the organizations where an organization has to set the benchmarks for its staff. The aims of appraisal in England and Wales, set out in the School Teacher Regulations (1991), placed emphasis on recognition of achievement, career development, professional development, and where there were those 'having difficulty', providing 'guidance, counselling and training'.

Appraisal serves the purpose of recognition and re-enforcement and consolidation of effective practice (West-Burnhams, 1993, 3). It also helps in diagnosing professional development and training needs. Developmental Appraisal System provides a two-way, boss-subordinate review of performance and provides feedback to education senior managers on performance of employees. This helps to provide an inventory of talents and skills qualifications, which might help educators to develop one another. Individuals know better their strengths and weaknesses. Sometimes salaries and other rewards are reviewed through the data obtained through appraisal. Training needs can also be identified and consequently provision of input for human-resource planning and career path planning. Some forms of appraisal involve elements of more than one purpose. The purpose might be of evaluation of the individuals' performance, some with the individuals' development while others are concerned with accountability to the organization. However for the purpose of this study, the focus is on the developmental element. The developmental goals are the following:

- Counseling and coaching subordinates so as to improve their performance and develop future potential.
- Developing commitment to the organization through discussion of career opportunities and planning.
- Motivating subordinates by recognizing achievements and by giving support.
- Strengthening of supervisor-subordinate relations.
- Diagnosing both individual and organizational problems.

2.4 ISSUES IN APPRAISAL AND STRATEGIES FOR THEIR MANAGEMENT

Developmental Appraisal System empowers educators especially since it involves negotiation, which encourages sharing ideas by peers and other stakeholders (Thurlow and Ramnarain, 2001: 95).

There are quite a number of issues that are considered in the appraisal process, and certain management strategies are recommended for the management of such issues. Some of those issues are:

- There is a great need for educators to know what is expected of them.
- Educators expect support and guidance for the individual development. There is also a need for trust and open dialogue.

- When evaluation is done, educators must be free to say in which areas they need to improve and they must get regular feedback on their performance.
- Inclusion of extra-curricular activities for the purpose of appraisal, need to be reviewed.
- Conflicting ideas exist between developmental and evaluative goals of appraisal and the tension exists when appraisal relates to rewards of promotion.
- There are issues of consistency in the criteria used for appraisal.
- Managing unsatisfactory performance in a way that leads to positive outcomes.

The following strategies may help in managing the appraisal issues:

- Employing strategies that will diminish the tension between evaluation and development. Evaluation and development schemes must be separated.
- Look for feasibility of Universal appraisal in a school, ensuring that upward and peer appraisal is done on everyone in the school.
- The school (through managers at all levels) must recognize the need for different systems and for different groups of people.
- Careful selection of the range of development-oriented activities for the management of performance as suggested in O'Neill, 1994.
- Motivate educators and make them understand the importance of symbiotic relationship between individual performance and organizational effectiveness.
- The staff must be encouraged to set specific challenging realistic goals for their performance.

2.5 THE COMPONENTS OF APPRAISAL

Components of an appraisal process are indicated as follows (Thurlow, 1993: 2(2)):

- The initial meeting in which the purpose of appraisal is clarified and confirmed. In this meeting teachers' job description is reviewed and the agreement about the scope of the appraisal is reached. Arrangements for self-appraisal and for timetabling are made.
- Collection of evidence and other data. This component includes self-appraisal, classroom observation or out of classroom activities, pupils work and progress and other evidence as the job description may require. These can be of a qualitative and quantitative nature.
 - Qualitative in the sense that other people's views about the appraisee's performance are considered; and quantitative in the sense that they may give for example the attendance and punctuality records.
- Appraisal interview, which allows the chance for negotiation between appraiser and appraisee and which also caters for the setting of professional targets.
- Follow-up discussions towards the professional development activities.

Formal review meetings with additional appraisal statements backed up by support and professional development.

2.6 MANAGING THE IMPLEMENTATION AND DEVELOPMENT OF APPRAISAL

To be positive about the DAS and to make it a positive activity, it may be related to Montgomery's "Managing Appraisal" where evaluation was originally regarded as the enhancement of Teaching

performance and later referred to as Developmental Appraisal (Montgomery, 1981: 41). Institutions may interpret the guidelines of Developmental Appraisal System in a way that will suit the needs for that particular institution. Each institution sets out its 'code of practice'. In spite of each institution's code of practice, managers must be aware of conditions under which appraisal is most likely to succeed. Some of such conditions include the following features:

- A consensus about values in the organization.
- A climate or ethos of trust and openness.
- An encouragement of positive self-image amongst people.
- A prior agreement of what commitment will be given to supporting and achieving outcomes of appraisal.
- Job description in which the job holders have 'negotiated' the contents.
- Appropriate preparation and training for participants.

Techniques must be developed in the initial training of educators. These techniques must deal with classroom observation and interviews and can be used for experienced teachers as well.

Strength and weakness have to be analyzed for individuals and for schools. Targets need also to be set and to be reviewed annually. Teachers need to be given support to enhance job satisfaction and innovations.

2.7 APPRAISAL IN SOUTH AFRICA

A report on the pilot study for the implementation of the DAS (Mokgalane et al, 1997: 3) identifies the following features of appraisal that could be observed in the appraisal project:

- Acknowledgment of the significance of context in shaping performance.
- Self-appraisal.
- A school level appraisal team.
- The right of the appraisee to nominate his/her appraisal panel.
- Open discussion and feedback between the appraiser and appraisee.
- The right to make an appeal by the appraisee if there is complaint or dissatisfaction.
- A developmental plan.

The Department of Education corporate plan for five years (Thurlow and Ramnarain 2001: 91), places emphasis on implementation and improved service delivery. In an agreement made on the DAS in the Education Labour Relations Council (ELRC) in 1998 and gazetted in 1999, certain principles were identified as principles that should guide the New Appraisal System.

These principles are:

- The importance of the process as equal to that of the product.
- The DAS process and the need for being negotiated.
- Involvement of peer in the system.
- Being developmental of the Appraisal System as opposed to being judgmental.

- Considering the contextual factors by matching criteria for evaluation and availability of resources, the state of school and other factors.
- Democracy, openness and transparency.
- Empowering stakeholders in conducting of appraisal.

2.8 THE PROCESS OF CHANGE

The process of change, with particular focus on staff developmental appraisal must be basically determined by identified needs. Planning of staff development must address the issues of the rationale, give guidelines for making preparations, do management plans by considering implementation and monitoring process and then evaluate. Middlewood (op. cit)

2.9 THE NEW DEVELOPMENTAL APPRAISAL SYSTEM (DAS)

The National appraisal manual claimed that the pilot project validated empirically the nature, philosophy and instrument of the new appraisal system. These findings were judged to be sufficiently positive for introducing the new appraisal process in spite of the fact that the pilot project was evaluated through independent evaluation.

In agreement in ELRC Resolution number 4 of July 1998, it was agreed that:-

- The appraisal system that was piloted should remain, including the guiding principles, the nature of appraisal process and the use of appraisal panels.

- The instrument should be developmental in nature only and would be used with all levels of personnel in education except for therapists and psychologists.
- Appraisal would be tied to the nature of job-description of the specific level of post to which a person may be attached.

A new system of Developmental Appraisal is fundamentally developmental and formative and is not related to the levels of remuneration and decision-making about promotions. It was developed through negotiations involving major teacher unions and the employment authorities. All educators and all levels of educators are included, are active and are also equal partners in their appraisal. The system is both open and accountable. If the Developmental Appraisal System is intended to work, it is characterized by the following establishments:

Staff development teams (SDT) established by each institution. The staff development team is elected at the institution. It serves the purpose of initiating the appraisal process, facilitating appraisal training and giving ongoing support through:

- Preparing and monitoring the management plan for appraisal.
- Establishing the appraisal panel and identifying the appraisee.
- Ensuring a link between appraisal and whole school development.
- Monitoring the effectiveness of the appraisal system and making sure that records are maintained.

Appraisal training which must be received by all staff members. The training programme include contextual background material, advice on procedures, commentary on forms to be used and brief coverage on conducting developmental appraisal.

The appraisal panels made up of appraisee and at least three others. Each panel consists of the appraisee, a member from senior management persons, union representative and a person from outside the institution. Each panel elects its own chairperson who schedules and conducts panel meetings as well as reporting progress to the SDT.

Appraisal instrument consisting of a personal details form needs identification and prioritization form, personal growth plan (PGP), the discussion paper and the appraisal report.

- A Personal details form briefly gives personal details of the appraisee as well as a shortened Curriculum Vitae.
- A Needs Identification and Prioritization Form contains the criteria that are used to appraise the educator. Criteria used for various levels of educators and criteria on which appraisal will be based are identified. Priorities for development are also recorded on these forms.
- The personal growth plan is based on the prioritized criteria. In this form the appraisee writes the objective he/ she identifies from his/ her development, how it is proposed to meet these objectives, the period within which these objectives will be met, the resources that might be needed and the indicators that are proposed to demonstrate attainment of objectives. The panel jointly discusses the content of the PGP.

- The appraisee completes the discussion paper after a discussion with the panel. Information about the extent to which the appraisee has achieved objectives is recorded together with factors, which might have affected negatively the pursuit of objectives. Support given and what might be needed for further performance are recorded.

- An appraisal report contains identified and prioritised needs/ criteria, strengths of the educators, a programme for suggested development programme delivery. All members of the panel must sign the report.

Rating scale of A/B nature, where A indicates a priority need for development within the appraisal cycles, and B, performance that is in keeping with expectations.

Evidence in the form of portfolios and observation of educator in practice. Thurlow (op. cit). The process should be indicated in the management plan. Systematic evaluation is integral to staff development initiatives. Thurlow (op. cit.). This places a further emphasis on the importance of needs identification, which may be national, provincial, local schools-based or individual. The best tools for the needs identification are the guidelines for the Review and International Development of Schools (GRIDS).

The process for the DAS goes according to the management plan, but may vary according to circumstances in the institutions; otherwise the following plan (to be done for about 24 weeks) is the one plan according to the official manual.

- During the first week, the head of the institution calls for the staff to meeting to elect the School Development Team (SDT), if it has not been established.

- For the next two to three weeks, the SDT trains the staff of the institution. During the weeks from the fourth to the sixth, appraisees for the first and the second phases of cycle

one are identified by the SDT. The staff constitutes panels and chairpersons of the panels are elected, then the identified appraisees complete their Personal Details forms.

-From the sixth to the ninth weeks, educator portfolios are submitted to the panels for the observation of educators in practice.

-From the ninth to the twelfth weeks, the following procedures are taken:

+Appraisal panels decide on optional and additional criteria.

+They motivate for their decision on the Needs Identification and Prioritization form.

+Appraisees do self-appraisal on the Needs Identification and Prioritization Form.

+Two panel members (Peer, Union representative or senior member) finalize Needs Identification and Prioritization Form.

+The appraisee completes the PGP form which is then discussed and finalized by the panel.

-From the eleventh to the twenty-second week, an appraisee implements the PGP.

-During the twenty-third and the twenty-fourth weeks, the appraisee fills in the Discussion paper and prepares an appraisal report.

In order to achieve aims of Developmental Appraisal System the following requirements must be met (Mokgalane, 1997, 5):

- There must be a climate of democracy in the school as an organization.
- A culture of learning and teaching must exist in the school.
- Educators must be committed to development.

- Stakeholders in a school must have cultivated a culture of being open and trusting one another.

2.10 INITIAL ASSESSMENT OF THE DAS

At the time when Thurlow and Ramnarain wrote about transforming educator appraisal in South Africa, the DAS was regarded as premature. Even at this time there is no remarkable difference in terms of the progress to the appraisal process. There is still no empirical reference for what will follow and hence it is not possible to base coherent critique upon South African Sources. Most of what was assessed at that time has not been improved.

The process and principles on which the DAS is developed and underpinned respectively, relates to the formative appraisal system in other countries. Consequently, it is generally accepted in South African Education.

Like the previous educational initiatives and policies developed in South Africa, appraisal cannot implement itself but has to be implemented by people. Records of implementation of previous policies in South Africa have not indicated any impressive responses.

The fact that the pilot project focused on unpromoted educators and yet is expected to function for the heads of Departments (HODs), the deputy principal, the principal and the office-based educators has proved to be a fundamental weakness in the South African context. This indicates that the pilot project was limited, both in scope and duration.

Requirements of the DAS, which are democracy, culture of learning, commitment of educators to development and openness and trust, imply radical changes in the management of schools and yet they are neither mentioned nor addressed in the prescribed programmes or in the training materials. Explanation about the failure to full implementation of the DAS are complex and numerous and consist of factors

2.11 CONCLUSION

In conclusion this chapter has mainly addressed the issue of why appraisal is necessary, some ways of managing and implementing the DAS and the South African context in relation to the DAS.

A closer focus on the new developmental appraisal has been made, slightly comparing it to the old system of inspection. Involvement of human resources has also been highlighted. Chapter 3 will focus on the research methods that have been used towards this research.

CHAPTER 3: RESEARCH METHODS

3.1 INTRODUCTION

This chapter highlights the means by which the researcher gained information to answer the research questions. Research questions are further given and explained. Since the research is a case study, explanation is given to describe the school and why it was chosen. Limitations of the case study are also brought into attention. Further, the population used is stated, described and the numbers given indicating how many actually participated in the study. This chapter also states if there were some who did not participate and the reasons explained. There is also the description of the instrument; how and why it was structured and why some questions used have been made.

3.2 THE RESEARCH QUESTIONS

Three questions have been identified. The instrument used (questionnaires in this case) has got all its questions based on the key questions. These key questions are:

What are the contextual underpinnings of DAS, and how do these relate to the contextual realities of South African schooling, as well as other conceptualizations underpinning similar processes elsewhere?

How was the implementation of the DAS conceived officially, and what are the possible limitations associated with this conception?

What has been the actual experience of the school in attempting to implement the DAS, and what might be done to enhance the DAS and its implementation?

3.3 THE CASE STUDY

This research was a case study. A study was undertaken at a former Department of Education and Training school in the Pinetown district of the KwaZulu-Natal Department of Education and Culture. The school was chosen because it is where the researcher works as a Deputy- Principal and felt it would be easier to work with colleagues. In addition, the findings might be useful to the school to improve its implementation of the DAS after reading the suggestions which are a joint effort of the majority of the staff.

3.4 THE POPULATION

The researcher (who was at that time an acting principal) requested the whole staff to participate. The number in the staff establishment (educators) consisted of fifteen members including the researcher. Thirteen of these educators were employed on a permanent basis while two were temporary educators. All were qualified educators.

A letter was written by the researcher to her colleagues explaining about the aim of the research and requesting them to complete the questionnaire towards the issue of the Developmental Appraisal System. Further assurance was given that answers given would be treated in the strictest confidence and that anonymity of questionnaires would be ensured.

Each educator was therefore given a copy of the questionnaire. Out of the teaching staff of fourteen (excluding the researcher), eleven educators returned their responses. In order not to influence the findings, the researcher (as the fifteenth educator) did not complete a questionnaire. Two educators did not return their questionnaires, however one educator had the questionnaire completed by an educator of another school and decided to give it personally to the researcher explaining how it came about. The researcher regarded that questionnaire as a spoilt one.

3.5 THE INSTRUMENT

Question 1 of the questionnaire needed respondents to say whether they had or had not seen a copy of the DAS manual and to make comments. The second question required the respondents to state the training and support they had received for the implementation of the DAS. The third question required the respondents to state their views about the quality and effectiveness of the training and support received. The comments were expected to indicate the limitations and/ or strengths associated with the DAS.

Question 4 called for suggestions respondents wished to make about how training and support might be improved, whereas question 5 required respondents to say if the school experienced any problems in organizing and administering the DAS. Question 6 called for comments the respondents wished to share with other colleagues. Each of these three questions needed respondents to give some explanation after their responses. All of them addressed the first 'key question'. Actual experience of each respondent was addressed in question 7, which asked if s/he had been appraised. Question 8 needed the respondent to say if self-appraisal was valuable or not;

and question 9 required the respondents to say if an appraisal panel and the professional growth plan (PGP) had been valuable or useful. Question 12 inquired about time allocated for the preparation for appraisal. Question 13 required information on whether sufficient help and support was given to individual respondent as an appraisee. Question 14 was about language and ideas as easy or not easy to understand. Question 15 required the respondents' view on the A/B scale used in the DAS and question 16 required the respondent to say if his/ her experience of the DAS contributed positively or not to his/ her personal and professional development. In all these questions the respondent was expected to make comments on each response that s/he had made.

Although educators would complete the questionnaires during their spare time (not during teaching time) permission had to be obtained from the Pinetown District Manager so that he has information of whatever happens in a school under his jurisdiction. Educators were all requested through a formal letter to complete the questionnaires. After sending the letter, the researcher went to the district manager to clarify the need for doing the research in a school and the district manager gave permission to the researcher to go on.

The questionnaire was preferred especially because it would give a clear indication of each individual teacher's feelings about the DAS and would be strictly confidential. The teacher would also respond to the questionnaire during the time that would be convenient to him/her.

Information on all three questions was obtained through the questionnaire. The questionnaire was designed so that each educator could indicate his/her response to questions. It also allowed an opportunity for comment and final suggestions. The questionnaire designed was based mostly on a

new system for Development Appraisal System (Thurlow and Ramnarain, 2001: 98). It bears some of the following characteristics:

- Appraisal panels.
- Rating scale of A/B nature and others.
- Appraisal training received by staff members.

Questionnaire items consisted of open as well as closed questions. Most of the questions needing a “yes/ no” response are followed by a space where the respondent would freely comment.

The three key questions were all accommodated in the different sections. Refer to the questionnaire in the appendix. The questionnaire has been divided into three sections namely:

Section A (DAS in your school)

Although an overlap of questions in different sections might be observed, question 1, 2 and 3 in this section are more relevant to key question 1 (contextual realities).

Section B (You and the DAS)

Questions in this section address almost all the key questions. Questions 8, 9 and 10 address key questions 2 and 3 and questions 7, 11, 12, 13, 14, 15 and 16 address key question 1.

Section C (The DAS in general)

Questions 17 and 18 both address the key questions 1 and 3.

Many of the closed questions in a questionnaire allow for open-ended comment, which allows for further elaboration and illumination of findings.

3.6 ANALYSIS OF QUESTIONS.

Certain answers from some questionnaires appeared to be inconsistent and contradictory. For example where one respondent would in question seven (Have you been appraised?) place a tick on 'no', but a tick on 'yes' in question 8 (The DAS includes self-appraisal. Did you find this to be valuable?). This might indicate the respondent's understanding of self-appraisal not in the context of DAS but as part of educator's self review. This might also indicate that certain aspects of the Developmental Appraisal have not been clearly understood by educators.

Descriptive analysis of each question was done with all the eleven questionnaires, grouping respondents for each question according to 'yes', 'no' and 'no response' in some questions. In others where a comment had to be made, similar and related comments were grouped together. Similar and related comments, suggestions, respondents' views, explanations and opinions were further grouped together and were interpreted and reported likewise.

Section B was concerned with individual educator and the DAS. From this section information would indicate how each respondent had experienced the DAS and where exactly s/he experienced

problems. Section C particularly exposed the general impression and the suggestions by the educators of the school about the DAS. These factors were also grouped together according to their similarities and relatedness and reporting was taken from there. A response sheet was prepared where responses were summarized and recorded in numbers and in percentages. Where comments and suggestions only were to be made, an indication was made on the response sheet.

3.7 CONCLUSION

This chapter gives an explanation why the researcher chose this 'case study'. Limitations that come along with this case study have also been indicated. Population used (the whole staff in this case) has been stated, described and numbers given indicating how many actually participated in the study. An explanation has also been given on who did not participate and the reason for non-participation.

A description of the questionnaire as an instrument has been made on how it was structured and why it was structured that way. Some comments have been made on questions used. Finally, it gives an explanation of how the responses were analysed.

In conclusion, the next chapter (Chapter 4) will be looking at the presentation of findings and commenting on each question in relation to the findings.

CHAPTER 4: PRESENTATION OF FINDINGS

4.1 INTRODUCTION

This chapter is the presentation of the findings. Findings are presented in percentages and from each question analysed comparison is based on how different respondents indicated their responses. Findings have been further done in sections as set out in the questionnaire.

Analysed findings have been further interpreted. The interpretation is based on the 'yes', 'no' or 'no-response' responses and on comments and suggestions made by the respondents. In certain cases reference will be made to literature relevant to the findings. Then a summary of what has been done will make conclusion to the whole chapter.

4.2 ANALYSIS OF FINDINGS ON THE DEVELOPMENTAL APPRAISAL SYSTEM

The questionnaires answered by educators consisted of the three sections, as mentioned earlier.

Analyses were as follows:

Section A:

The 'The DAS in your school' had the first question requiring educators to say if they had seen the copy of the DAS manual. All of them indicated that they had seen the copy of the DAS manual. 82% (9) of the respondents commented that the manual contained useful information. 9% (1) of the respondents felt that they did not have enough information to make comments and 9% (1) did not make any comments in relation to the manual.

The second question was based on the type of training received for the implementation of DAS. 72% (8) of the educators' responses indicated that workshops had been run at school by those that had been workshopped by the Department of Education. 18% (2) of educators had not been workshopped and 10% made no comments. From the 72% (8) that indicated to have been workshopped only 38% educators felt that training was very effective, but the others felt that training was not enough since educators still thought that the DAS is the same as the old inspection system.

Only 27% (3) of the educators made suggestion towards how training and support might be improved. The suggestion was that the teachers have to be retrained so as to be in line with the new developments in the education system. Other educators did not make any suggestions.

In as far as the problems that the school had experienced in organising and administering the DAS are concerned, 64% (7) of educators' responses indicated that there were problems. 36% (4) indicated that there were no problems experienced. Those that experienced problems indicated that the educators were not in favour of the DAS and they also indicated that DAS was closely associated to the old system of inspection. They also indicated that there was no time for such a lengthy process and 18% (2) indicated that information received was not enough.

Where educators were asked to make comments they wished to share with other colleagues, only 36% (4) made comments and one comment was 'educators must be positive about the DAS and each educator must be willing to improve his/her teaching skills. The other comment was that emphasis on the importance of the DAS should be made and clarity should be made on its aims to develop educators for effective teaching and learning. One made a comment about misconception

created by the attributes of the teacher unions and the departments and the other one commented on unavailability of time to go on smoothly with the DAS.

Section B

The first question in this section wanted information on whether the educators had been appraised or not. 45 % (5) of responses indicated a “ yes ‘ while 55% (6) indicated a ‘ no ‘ response. Where respondents indicated to have been appraised, 5 respondents did not give explanation as had been requested but one respondent indicated a problem related to OBE (which he/she indicated was not conversant with), which hindered her/him challenging further steps towards appraisal process.

In a question on being valuable or not being valuable of self-appraisal, 45% (5) of the respondents indicated self-appraisal had been valuable while 55% (6) indicated that it had not been valuable. 67% of the latter respondents had indicated in the previous question that they had not been appraised. In this response they further made a comment that in spite of the fact that appraisal during this prescribed session had not been done on them, they now and again did self-evaluation on their work in order to develop themselves. One fifth of the 67 % indicated that self-appraisal had not been valuable; another fifth made a comment that the appraisee becomes biased, which seemingly meant that when one is doing self-appraisal there might be self-deceit.

The respondents experienced usefulness of the appraisal panel in the following way: 9% (1) did not respond, 55% (6) respondents indicated that they found the panel to be useful. From this 55%, 18% felt that the panel did not have enough expertise to do this (one complained about restrictions that

exist when one has to choose his/her panel) and 18% felt the appraisal was very intimidating in spite of the fact that one chooses his/her panel. The other 18 % made no comment. Among those that found the panel to be useful, two made a comment that the panel would help the appraisee improve his/her performance by identifying strengths and areas that need development. Others commented about lack of time.

Concerning the Professional Growth Plan (PGP), 36% (4) of the respondents indicated that it had been useful to them; 9% (1) did not indicate whether it was useful or not, but made a comment indicating that they knew nothing about the professional growth plan and 54% (6) indicated that the PGP had not been useful to them. The 'yes' respondents in this case made different comments about the Professional Growth Plan. One indicated that the panel makes some constructive contributions while you show them your PGP. Another felt it helped one to identify aspects of needs to give more attention to in order to develop oneself as an educator and as a manager. The other two 'yes' respondents made no comments.

73% (8) of the educators did not respond where they were asked to give their opinion on the form that had to be completed for the DAS. From the 27%(3) of those that responded, one respondent said he/she had not seen the forms while one said he/ she had no opinion because appraisal had not been done to him/ her. And another one indicated that personal details form, Professional Growth Plan forms and the prioritization form were well structured. He/ she further commented on the discussion paper format as allowing for the whole panel to be free to express themselves about the whole process.

About time allocated to the preparation for individual appraisal 18% (2) did not respond, 45% (5) indicated that there was sufficient time for preparation and 36% (4) indicated that time was insufficient and half of them ('no' respondents) made some comments while the other half did not make any comments. One made a comment that he/she did not appreciate the unannounced visit, since not all learning and teaching is done inside the classroom and this might cause disturbance and chaotic situation. The other respondent felt that panel members especially from outside the school usually experienced problems trying to organise time available to them, to suit time available to the members at the school and vice versa.

In the question inquiring if sufficient help and guidance was given, 18% (2) educators did not respond, 9% (1) gave a yes response without comments and 73% (8) indicated that help and guidance was not sufficient. Comments from the latter group indicated lack of proper and successful workshops. One from this group indicated that as there was insufficient help and guidance, discussions held by the panel helped panel members to empower one another as each one of them contributed whatever information one had in as far as the DAS is concerned.

Where information was required about the language and the ideas used in the DAS as easy or not easy to understand, 18% (2) educators did not respond; 27% (3) respondents said it was easy to understand and 34% of this latter group made comment that the language was suitable especially for those that are in the teaching profession and would not suit the learner component and those that are not in the education profession; 55% (6) of the respondents indicated that the language and ideas in the DAS were not easy to understand and 34% of this group made comments that language and ideas should be made simpler for everybody to understand.

64% (7) educators did not indicate any response about the A/B scale used in the DAS, 9% (1) respondents indicated that they had no information about the A/B scale and the 27% (3) respondents made comments about the A/B scale which indicated that although it was very appropriate, it was limiting since it indirectly implied 'yes' or 'no' and did not cater for the appraisee that was progressing (neither having attained the required standard nor totally needing basic development).

A question on whether educators' experiences of the DAS contributed positively to personal and professional development had 18% (2) non-respondents, 27% (3) negative responses to it and 55% (6) positive responses. The non-respondents and the negative ('no') respondents did not make any comments and 67% of the positive ('yes') respondents made comments that indicated the fact that the DAS had made them aware of different things they took for granted in the profession and encouraged them to do self appraisal frequently.

Section C

In question 17 which required overall impression (by each respondent) as was currently designed and implemented, there were 27% (3) non-respondents and 73% (8) responses in the form of comments; 20% of latter respondents felt the Developmental Appraisal System is not user friendly and 80% of them felt the DAS is good and aims at promoting the culture of learning and teaching.

These respondents also felt it needs well planning and should be made in line with curriculum changes and should be monitored properly.

The last question (question 18) asked for suggestion from educators. 18% (2) did not make any suggestions but 82% (9) made quite interesting and different suggestions. 100% of this group suggested that the DAS must be designed in the way that will not be so time consuming and the way that will not require learners to be robbed of their contact time by educators. They also suggested that it must not be intimidating and stressful to educators. Concerning observation of lessons some respondents indicated that education ministry must first make sure that educator are all conversant with OBE (Curriculum 2005) since there are educators that are not yet confident with OBE. These class observation sessions (announced or un announced) appear to be intimidating, demotivating and lowering ones self-esteem. In as far as work performance is concerned, some felt there is still a need for extensive training for educators, school management teams and the circuit as well district teams. One suggested this must be stopped and new mechanism of development be redesign while another adds that there must be incentives along with DAS. Some suggestions were that special and well-planned approach must target educators' attitude towards the Developmental Appraisal System. Activities must be within the practical parameters and must focus on realities and not just things the stakeholders want to see happening.

Almost all respondents here suggested that time factor is a constraint that needs a very special consideration.

4.3.INTERPRETATION OF THE ANALYSED FINDINGS

The fact that 73% (8) of the educators made responses on the questionnaire given to them, indicate how positive they were to the research and hence Developmental Appraisal System. In the first section about 'the DAS in your school' the first question was requiring an indication that educators had seen the DAS document. The 100% respondents indicating that they had seen the document clarified the positiveness of the school about the issue of DAS generally and the fact that basic information was relayed to the educators .82% (9) of the respondents indicated that they saw the document as useful, which implied that they took the trouble to read through the document and to note certain facts. 9 % (1) respondents who indicated that they did not have enough information to comment about the usefulness of the document and 9% (1) educators that did not make any comments on their ' yes ' responses indicated greatly that some educators might have not seen the document or might have not read it or might have read it without taking trouble to understand it.

Regarding the received training and support for the implementation of DAS, the 2% respondents that indicated that they did not receive training consist of those that saw training and support as insufficient and those that felt it was enough. The former group had been 75% of the whole group of the 'yes' respondents and the latter group was only 25%. The 18% (2) that indicated that they had not been workshopped and 10% that had not made any comment might reflect negative attitude (unless workshops were held while they were on leave or before being appointed at the school) towards the DAS process based on the fact that the 72% (8) educators (from the same school) had indicated that they had been workshopped by other educators.

The 27% (3) that made suggestions about how training and support should be done recommended retraining of educators to be in line with the new developments in the education system and that input indicated how positive they were towards the DAS. The 73% (8) that did not make any comments towards the improvement of the training might have had little information about the DAS or might have been negative about it. This high percentage of 'no comment' respondents reflected the idea that they did not feel the ownership of the DAS. The evidence of this fact was reflected in the 64% respondents that indicated that there were problems with the DAS at the school and that educators were not for the idea of the DAS. The 36% (4) respondents that indicated that there were no problems might have been the positive group about the DAS, but the fact that the DAS process was not completed with all educators might indicate that they are too positive about the DAS.

Where 36% (4) made comments that they wanted to share with their colleagues, some of the comments recommended educators should be positive about DAS and be willing to improve their teaching. The 64% (7) that would not comment were likely to be indicating that they were not positive about the DAS.

45% (5) respondents indicated to have been appraised as opposed to the 55% (6) that indicated not to have been appraised. These less than 50% respondents that indicated to have been appraised gave an impression that there was a problem in the school as far as the DAS is concerned.

Concerning self-appraisal as being useful or not, 55% (6) positive responses to this implied that at this stage educators preferred introspection more than involving other people in ones 'assessment'.

This became evident when comparing this response with the 55% (6) respondents who found appraisal panel not useful.

The responses on Professional Growth Plan (PGP) where only 36% (4) indicated its usefulness, and the other percentage no response or the PGP as not being useful, implied that the attitudes of educators towards the DAS was not a very positive one. This was further portrayed in the 73% (8) no response on a question on the structure of the DAS forms used.

The high percentage of positive response (45% (5) compared to 18% (2) non response, and 36% (4) negative responses) on the question of whether time was sufficient or insufficient for preparing oneself for being appraised, indicated that time was not much of a problem, concerning preparing for one's self-appraisal, but the problem existed especially when the other panel members had to be fully involved.

The fact that the majority of the respondents (73%) indicated that help and guidance was not sufficient, implied that training and motivation of teachers for the DAS was not enough at the school. The same applies to the response on language use. It indicated that the technical terms (being unsuitable for panel constituents) made it difficult for the panel to work as a team

Although many respondents either did not comment or had no information about the A/B scale used in the DAS, even those that made comments felt the scale was limiting to appraisal; this reflected that generally the scoring scale must be re-structured.

The 55% (6) positive respondents to educators' experiences of the DAS as contributing positively to personal and professional development implied that even if the DAS had not been fully implemented, most educators saw it as something that might be useful at a later stage.

From the question on the overall impression about the DAS (73% (8) respondents and 27% (3) non-respondents) 80% of the respondents indicated to be positive about it and felt it must be re-planned. And the 20% negative respondents made a comment that the DAS was not user-friendly. This implied that if it could be made to be user-friendly most educators in the schools would be positive about it. Some of the comments related the DAS to Outcomes Based Education (OBE) and this gives the feeling that some educators were not free with the DAS because they were not yet conversant with OBE and yet when class observations were done, they would be expected to be in line with the OBE practices.

Where educators were requested to make suggestions about the DAS, 82% (9) did suggest. This response alone showed how much educators liked to contribute to the profession to promote the culture of learning and teaching. Since the general comment was that of time consumption, the DAS had to be re-structured in a way that would also cater for the availability of time without jeopardising learners' contact time.

4.4 CONCLUSION

Findings have been presented in this chapter and have been interpreted. This was done section by section in each questionnaire.

The next chapter will summarise the main findings and link them to literature wherever possible. It will show recommendations made by the researcher about the DAS particularly in the school. It will finally give conclusion to the study.

CHAPTER 5: SUMMARY AND RECOMMENDATIONS.

5.1 INTRODUCTION

This chapter will focus on summarizing the findings done in chapter 4 and relate them to relevant literature where possible. Realistic recommendations by the researcher will be reflected about the DAS generally and its implementation especially in the school.

5.2 SUMMARY

This research, done on Developmental Appraisal System, particularly focused on the perceptions, experiences and the input of the staff of Jubilee Senior Primary School. Developmental Appraisal System as the name indicates is of formative nature due to its concern with professional development.

From the analysis of the data obtained certain respondents indicated that the DAS is somehow intimidating to the educators. Therefore there is a suggestion that even where the underlying purpose for the introduction of Systematic Appraisal is for professional development, teachers are likely to exhibit initial suspicion. Thurlow, (op. cit.)

Some educators appear suspicious of the Developmental Appraisal System. Should the underlying purpose of the Developmental Appraisal System be genuinely formative, it will be regarded as a

highly useful tool for professional growth. There is a certain level of democracy implicated in this research as far as Jubilee senior Primary school is concerned. The fact that the data was obtained from eleven members out of fourteen (fifteen including the researcher) is a clear indication that findings and suggestions drawn from this research have a majority representation. Therefore the school can work from the findings if so required. This is also in line with one of the guiding principles of the DAS as stated in the DAS manual that says ‘the appraisal should be inclusive of all stakeholders’.

There is a need for clarity in various steps and issues concerning the Developmental Appraisal System at the school. To make the notion of appraisal clear to educators that it is not a ‘judgmental’ approach emphasis based on the ‘Manual for the New South African Educator’, Developmental Appraisal System states ‘...it rests on the belief that nobody is just full of faults. Nobody is only and totally negative. Assessment of educators’ performances, therefore also need to note the things that they do that are good, which are the positive aspects of their practices. This is also in line with the concept of Catch them Being Good (CBG) and Positive Cognitive Intervention (PCI) (Montgomery, 1981: 44). Clarity should also be made about the purpose of appraisal.

Findings of the research indicated a need for re-training of educators and their panel members. For training and re-training to be a success it is important amongst other things to consider Gough’s and Hewitt’s (1995)(in David Middlewood) suggestion that a staff development plan might consist of the following sections:

the rationale which will answer the questions of why we need it and what we mean by staff development.

guidelines that will help with needs identification and matching of needs to provision.

management to facilitate implementation and monitoring of the process.

evaluation to answer the whys, whats, whos and hows of the process.

The need for re-training that came up also relates itself to need to share expertise.

5.3 RECOMMENDATIONS

5.3.1. *DAS in relation to South African context and in other countries.*

Most concepts on the DAS in South Africa are based on 'alien' literature and research. Even in South African context, research projects have been done in a limited number of institutions. Therefore understanding of concept by educators without practical experience of the process results in a lot of arguments and uncertainties about DAS. The educators in the school where this research was done have read and understood some facts about DAS, but their responses to the DAS have indicated different attitudes towards the process. A recommendation here is that careful retraining and workshops must be done to help educators. Further research must be done in as many institutions as possible, so that many educators can make individual input on the way in which Developmental appraisal system can be structured and implemented.

5.3.2. *Official conception of the DAS and limitations associated with it.*

From the research, educators appeared to have understood the DAS as the imposed process in spite of the fact that the teacher organizations have been part of its development and implementation. Educators do not have the feeling of ownership of the process of DAS. Considering the fact that a high percentage of the respondents indicated a need for retraining, this is clear evidence that conception of the implementation of the DAS has not met the expectations of the Department of Education. It looks as if there has been a breakdown of coherence in ideas about the whole process. Comments educators have made indicated that the ethos of trust between the educators and the education system still have to be cultivated and nurtured before the DAS can be successfully implemented.

5.3.3. *The actual experience of the 'school' in the implementation of the DAS*

The school appeared to have implemented the DAS prematurely, in the sense that the way educators understood the DAS appeared not to have uniformity. They seemed to be willing to proceed with the implementation of the DAS, but there are quite a number of issues that must be addressed further. From the findings made, I, the researcher would recommend that the process of Developmental Appraisal be started afresh from the first steps of explaining what the DAS is and what its purposes are.

5.3.4. *General recommendations.*

Let us consider the six significant issues for appraisal in education. The first one focuses on learning as an autonomous and individual task. Here the emphasis is on the fact that no two teachers are the same. In this case I would recommend that educators' attitudes to this be made positive so that each educator may realize that there is something that s/he may learn from another educator.

Secondly teaching is regarded as a multi-task job. Which means that there are particular differences in assessing the effectiveness of carrying out ones job. From this point I would recommend that educators beware that problems and difficulties will always be encountered and they should always be taken as challenges to be faced directly.

The third issue regards education as involving uncertainty over measurement of results. My recommendations in this case is that in order for educators to regard the DAS as a contributing factor to the life-long learning process, motivation should not be directed towards educators only, but to all stakeholders. This might make educators understand that the outcomes are not dependent on them only. They might therefore not feel intimidated about the DAS by the different environments in which they teach and by the imbalance in educational resources in different schools.

The fourth issue clarifies that there are no clearly defined rewards in the business sense, which according to my opinion the, educator must see their own professional development brought about by the DAS as a reward. They must also see development in their learners' education as rewarding.

The issue that the results obtained by students cannot be attributed to specific teacher performance should encourage teachers to explore whatever possible aspects of their performance that might give positive contribution to their teaching.

The sixth issue states that there are other people that have a direct interest in their performance. This leads to a recommendation that educators must work hard to see to it that the concerns for such people about their performance gets directed to the benefit of the learners. Developmental Appraisal System is one way through which educators might find themselves improving their performance step by step and also meeting the challenges of the new education system. More information must be given to the educators on how their involvement in community-related matters can be accommodated in the DAS.

The issue of time constraints is another factor that inhibits the implementation of the DAS. I personally feel this happens because of large numbers of learners teachers teach. When educators try to combine classes so that one educator can be released to perform his/her duties as an appraisal panel member, the class becomes unmanageably big. therefore the revisiting of teacher- pupil ratio to 1:29 or less might make the learning a success with all learners, hence fulfilling the expression that 'All children can learn' and 'All children can succeed'.

5.4 CONCLUSION

Although this study is a case study of Jubilee Senior Primary School and one cannot generalize from it, the school, if interested might use the findings on its implementation of the DAS. Drawing from the findings, comments and recommendations, the school management team and the School Development Committee (SDC) have to plan some ways of re-training and workshopping the staff on the Developmental Appraisal System. As the study has focused on what the conceptual underpinnings of the DAS were and how these relate to the contextual realities of South African schools and other conceptualizations underpinning similar processes elsewhere. It has also focused on the actual experience of the school to implement the DAS and ways of enhancing the DAS and its implementation. The above issues have been addressed in the questionnaires that were answered by educators.

Generally the main purpose of the Developmental Appraisal System is to develop the employees so that they recognize their individual achievement.

Because schools and colleges depend on people who work there for success, people-oriented approaches must be employed in most tasks. Teaching is an individual autonomous and multi-task job. It involves uncertainties over measurement of results and education has no clearly defined rewards. Therefore there are certain principles that govern the new DAS. The processes in the DAS are as important as the product and should be negotiated and involve review by peers.

Educators are empowered through developmental appraisal. Developmental appraisal can be best driven home through the performance perspectives like Management By Objectives (MBO). In

MBO task analyses help in identifying differences in levels of performance like rating performance as adequate or outstanding. It also places more emphasis on workplace performance and works well as an internal institutional vehicle.

To be more specific about context on the issue, this investigation might somehow help maximize the potential of the individual educator at the school. Educators will be made aware of existing problems and will consequently collegially work out the problem. Since developmental appraisal is a characteristic of a caring institution, it focuses on promoting working towards a school vision and job satisfaction among staff.

The issue of the DAS still needs to be researched further in different institutions so as to see exactly what must be done to make it a successful process.

REFERENCES

1. ANC (1994a) **A Policy Framework for Education and Training**. Johannesburg: Education department, african National Congresss.
2. ANC (1994b) **Implementation plan for Education and Training: Summary Report of the IPET Task Team**. Johannesburg: Education Department, African National Congress (Task Team Report on Teacher Development and Support).
3. APEK (2001)**Developmental Appraisal System (DAS): Research**. Durban, Association of Professional Educators of KwaZulu Natal
- 4.Barber, M, Evans, A. and Johnson, M. (eds) (1995). **An evaluation of the National Scheme of School Teacher Appraisal**, London: DFEE.
5. Bush, T. and Wes-Burham, J (1994). **The Principles of Educational Management**. Glasgow (Great Britain)
6. Bush, T. (1995) **Theories of Educational management**. University of Leicester. Paul Chapman, London.
7. Bush. T. and Middlewood, D. (1997) (eds) **Managing People in Education**. London: Paul Chapman

8. Caldwell, B. and Spinks. J. (1992) **Leading the Self-Managing Schools**, London: Falmer Press

9. Cardno, C. and Piggot-Irvine, E. (1997) (eds) **Effective Performance Appraisal: Integrating accountability and Development in staff Appraisal**, Auckland: Longman.

10. Chetty, D., Chisholm, M., Gardner, M., Manau, N. and Vinjevold, P. (1993) (eds) **Rethinking Teacher Appraisal in South Africa: Policy options and strategies**, Johannesburg : Education Policy Unit, University of the Witwatersrand.

11. Département of Education (1996) **Changing Management to Manage Change in Education. Report of the Task Team on Education Management Development**. Pretoria: Department of Education.

12. Department of Education (2000a) **Implementation Plan for Tirisano: January 2000-December 2004**. Pretoria: Department of Education.

13. ELRC (1998) **Developmental Appraisal Resolution 4 of 1998**. Pretoria: Education Labour Relations Council.

14. ELRC (1999) **Developmental Appraisal for Educators**. Pretoria: Education Labour Relations Council.

15. Fidler, B. and Cooper, R. (ed) (1992) **Staff Appraisal and Staff Management in Schools and Colleges: A Guide to implementation**. Harlow Longman in Association with the British Educational Management and Administration Society.
16. Fox, C. (1994) **Management of the introduction of all Staff Appraisal Scheme**. HEMBA dissertation, Leicester University.
17. Mokgalane, E., Carrin, N. and Chisholm, L. (1997) (eds) **National Teacher Appraisal Pilot Project report**. Johannesburg: Wits EPU.
18. Montgomery, D. and Hadfield, N. (1989a) **Appraisal in Primary School**. London: Scholastic Press.
19. Montgomery, D. (1991) **Positive Appraisal: a Critical Review of ten years work**. Management in education. Volume 5, No. 3.
20. O' Neill, J. Middlewood, D. and Clover, D.(1994) **Managing Human Resource in Schools and Colleges**. London: Longman.
21. Poster, C. and Poster, D. (1993) **Teacher Appraisal: training and Implementation**. London: Routledge.

22. Squire, W., Riches, G and Morgan, C (eds) (1989) **Human Resource Management in Education**. Buckingham: Open University.

23. Thurlow, M. and Ramnarain, S. (2001) **Transforming Educator Appraisal in South Africa** In Middlewood, D. and Cardno, C. (eds)(2001) , **Teacher Appraisal and Performance: A comparative Approach**, London: Falmer Routledge.

24. Thurlow, M. (1993) (ed) **Systematic Staff Appraisal: Evaluation for the professional Development of Teachers**, Journal of Educational Evaluation, Volume 2, No. 2.

25. TTA/Ofsted (1996) **Joint Review of Headteacher and Teacher Appraisal, Summary of Evidence**. London: TTA.

26. Turner, G. and Clift, C. (1998) (eds) **Studies in Teacher Appraisal**, Lewes: Falmer Fross.

27. West-Burnham, J. (1992) **Management Quality in Schools**. Harlow: Longman.

28. West-Burnham, J. (1993) **Appraisal Training resource Manual: Implementing Teacher Appraisal in Schools**. Harlow: Longman.

APPENDIX 1

30 Essex Road
Glenwood
Durban
4001
25 June2002

The District Manager
Pinetown District

Dear Sir

I am a registered student at the University of Natal, and I am studying for the degree of MEd (Educational Management).

For my research project I am proposing to investigate the experiences of my colleagues in connection with the implementation of the DAS.

I should be grateful if you could grant permission for me to undertake the research at Jubilee Primary School, where I am the Deputy Principal. Please be assured that completing questionnaires will not interfere with my colleagues work and teaching duties.

Should you have any concern about the project, please could I ask you to contact Professor Michael Thurlow at the University of Natal (tel : 031- 2602634).

Thank you for giving attention to my request.

Yours fathifully

B. T. Goba

APPENDIX 2

30 Essex Road
Glenwood
Durban
4001
24 June 2002

The Principal and Staff
Jubilee S. P. School
P/Bag 14
3605 Ashwood

Dear Colleagues

As you know, the Developmental Appraisal System (DAS) is supposed to have been implemented in all schools. Unfortunately, little has been done so far to find out how successful the implementation has been.

Some of my fellow students at the University of Natal and I are trying to provide some answers to the question of how well the DAS has been implemented. In particular, I am interested in the views of you, my colleagues, at our school. I would be very grateful if you could spare a little of your time to let me know what you think by completing the attached questionnaire. I have tried to make the questionnaire interesting and easy to complete, and I shouldn't take up too much of your valuable time.

Please be assured that you are not required to put your name on your questionnaire, and your answer will be treated in the strictest confidence.

If you would be interested in the findings of my research, please let me know and I will share them with you.

Yours faithfully
B. T. Goba

APPENDIX 3

QUESTIONNAIRE ON THE DEVELOPMENTAL APPRAISAL SYSTEM (DAS)

The DAS has been implemented in our school. This questionnaire is intended to find out your opinions about the DAS in general, and your experience of the DAS.

It would be very much appreciated if you could spare a little of your time to complete the questionnaire, as your views are important.

Please answer openly and honestly. You are assured that your answers will be anonymous –no one will know your name – and that your answers will be treated with the strictest confidence.

If not enough space is provided for your answers, please feel free to expand on your answers on a separate sheet of paper. However, if you do this, please make sure that you number these additions so that it is clear to which item in the questionnaire they refer.

THE QUESTIONNAIRE

Wherever the questions require a YES or NO answer, please enter a cross in the appropriate box. For example, if your answer is NO, please enter a cross as indicated:

YES	NO
-----	----

A. THE DAS IN YOUR SCHOOL

1. Have you seen the copy of the DAS manual?

YES	NO
-----	----

If yes, please comment on the usefulness and the quality of the manual

--

2. What training and support did you and your colleagues receive for the implementation of the DAS?

--

--

4. Are there any suggestions you would like to make about how the training and support might be improved?

YES	NO
-----	----

If yes, please explain.

--

5. Did your school experience any problems in organising and administering the DAS?

YES	NO
-----	----

If yes, please explain.

--

6. Are there any other comments on DAS you would like to share with other colleagues?

YES	NO
-----	----

If yes, please explain.

--

B. YOU AND THE DAS

7. Have you been appraised?

YES	NO
-----	----

If yes, please go to the next question and if no, please explain why not?

--

8. The DAS includes self-appraisal. Did you find this to be valuable?

YES	NO
-----	----

Please comment further.

--

9. The DAS includes a panel appraisal. Did you find this to be of value?

YES	NO
-----	----

Please comment.

--

10. The DAS also includes a professional growth plan (PGP). Has this been useful to you?

YES	NO
-----	----

Please comment.

--

11. Please give your opinion on the forms that had to be completed for the DAS.

--

12. Was sufficient time allocated to you to prepare for appraisal?

YES	NO
-----	----

If NO, please comment.

--

13. Was sufficient help and guidance given to you throughout the DAS process?

YES	NO
-----	----

Please comment.

--

14. Did you find the language and ideas used in the DAS easy to understand?

YES	NO
-----	----

Please comment

--

15. What is your view on the A/B scale used in the DAS?

--

16. Has your experience of the DAS contributed positively to your personal and professional development?

YES	NO
-----	----

Please comment.

--

C. THE DAS IN GENERALS

17. What is your overall impression of the DAS as it is currently designed and implemented?

18. Please provide suggestions about what might need to be done to improve the DAS

Thank you for completing this questionnaire. Please put the completed questionnaire in the provided envelope and send it back to me.

APPENDIX 4

RESPONSE SHEET FOR ANALYSIS

Response in number

Response in %

	Yes	No	non response	Yes	No	NR %
Question 1	11	0	0	100	0	0
Question 2	8	2	1	72	18	10
3	7	4	0	64	36	0
4	5	6	0	45	55	0
5	6	5	0	55	45	0
6	4	6	1	36	55	9
7	4	6	1	36	54	9
8	6	5	0	55	45	0
9	4	6	1	36	55	9
10	4	6	1	36	55	9
11	Comments	Expected	8	Comments	Comments	72
12	5	4	2	45	36	18
13	1	8	2	9	72	18
14	3	6	2	27	55	18
15	Comments	Expected	9	Comments	Comments	64
16	6	3	2	55	27	18
17	Comments		3	Comments	Comments	27
18	Suggestions		2	Suggestions	Suggestions	18

Some of the percentage figures have been converted to the nearest whole number.